

# Oregon Statewide Children’s Wraparound Initiative

## Assessment Tool for Expanding Systems of Care

Adapted from the Self-Assessment Tool for Expanding the System of Care Approach:  
National Technical Assistance Center for Children’s Mental Health; Georgetown University Center for Child and Human Development



SCWI Site:

Date Completed:

### INSTRUCTIONS

This Assessment Tool for Expanding Systems of Care is designed to assess the implementation of an array of strategies that may be used by communities to sustain existing systems of care (SOCs) and to expand the SOC approach. It is not expected that a site will have used all of the strategies listed below. Rather, each site will employ the mix of strategies deemed most appropriate and effective in their unique context and environment. Further, **this assessment process is not intended to be used as an evaluation**, but as a technical assistance tool for identifying areas of strength and potential opportunities for intervention to expand the SOC approach. The purpose of this tool is to help each community define progress to date and inform statewide collaborative partners on how to be supportive in moving forward. It is intended to measure “**progress**” in implementing each strategy as well as ongoing needs; *it is not expected that a site will report extensive progress in all areas.* Rating progress objectively will enhance the usefulness of this tool in planning and implementing strategies to move further toward expansion of the SOC approach.

To complete the assessment:

1. Rate the progress your site has achieved in implementing each strategy that has been used as part of your efforts to expand the system of care approach.
2. Give an explanation of the progress you have made, successes and strengths.
3. Give an explanation of needs.
4. If you have purposely not elected to use a particular strategy, mark the box labeled “None.” You may still elect to provide an explanation of needs for those items labeled “None” if you plan to use that strategy in the future.

### Assessment Categories for Review:

- I. Implementing Policy, administrative, and regulatory Changes [page 2]
- II. Developing or Expanding Services and Supports based on the SOC philosophy and approach [page 6]
- III. Receiving or Providing Training, technical assistance, and coaching [page 10]
- IV. Generating Support and an Advocacy Base [page 12]
- V. Creating and Improving Financing Strategies [page 16]

## I. IMPLEMENTING POLICY, ADMINISTRATIVE, AND REGULATORY CHANGES

***Making policy and regulatory changes that infuse and “institutionalize” the SOC philosophy and approach into the larger service system to support expansion of the SOC approach***

**1. Establishing an Ongoing Locus of Accountability for SOC**

Creating or assigning a viable, ongoing focal point of accountability and management at the local level (e.g., agency, office, staff) to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

**2. Developing and Implementing Strategic Plans**

Developing and implementing formal strategic plans that establish the SOC philosophy and approach as goals for the service delivery system to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

**3. Strengthening Interagency Collaboration**

a) Incorporating the SOC philosophy and approach into memoranda of understanding and interagency agreements to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

b) Cultivating strong interagency relationships and partnerships to coordinate and/or finance efforts to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

<b>Explanation of Progress, Successes and Strengths:</b>
<b>Explanation of Needs:</b>

**4. Approving Policy or Enacting Legislation**

Approving policy and/or passing legislation that supports the SOC philosophy and approach to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

<b>Explanation of Progress, Successes and Strengths:</b>
<b>Explanation of Needs:</b>

**5. Building on Other System Change Initiatives**

Linking with and building on existing and emerging system changes initiatives in the state or at the local level, e.g., the implementation of health care reform and parity, to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

<b>Explanation of Progress, Successes and Strengths:</b>
<b>Explanation of Needs:</b>

**6. Promulgating Rules, Regulations, Standards, Guidelines, and Practice Protocols**

Promulgating rules, regulations, standards, guidelines, or practice protocols that require elements of the SOC philosophy and approach to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

**7. Incorporating the SOC Approach in RFPs and Contracts**

Incorporating requirements for elements of the SOC philosophy and approach in RFPs and contracts with providers and managed care organizations to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

**8. Incorporating the SOC Approach in Monitoring Protocols**

Incorporating the SOC philosophy and approach into monitoring protocols for assessing the performance of providers and managed care organizations and for assessing service quality to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

**9. Implementing Outcome Measurement and Quality Improvement Systems**

Incorporating the SOC philosophy and approach into data collection for outcome measurement and quality improvement efforts to improve outcomes and support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive

                      

<b>Explanation of Progress, Successes and Strengths:</b>
<b>Explanation of Needs:</b>

**II. DEVELOPING OR EXPANDING SERVICES AND SUPPORTS BASED ON THE SOC PHILOSOPHY AND APPROACH**

*Implementing the systemic changes needed to develop and expand a broad array of effective, individualized, coordinated home- and community-based services and supports that are family driven, youth guided, and culturally and linguistically competent*

**1. Creating or Expanding a Broad Array of Services**

Creating or expanding a broad range of home- and community-based services and supports that are consistent with the SOC philosophy and approach to improve outcomes to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

**2. Creating or Expanding Care Management Entities**

Creating or expanding care management entities to serve as the focal point of accountability and responsibility for managing the services, costs, and care management for children with intensive, complex service needs and their families to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

### 3. Creating or Expanding Care Coordination

Creating or expanding care coordination approaches to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                                                                                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

### 4. Creating or Expanding Individualized Approach to Service Delivery

Creating or expanding an individualized (wraparound) approach to service planning and delivery to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                                                                                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

### 5. Creating, Expanding, or Changing the Provider Network

a) Expanding or changing the provider network by creating new types of home- and community-based providers, changing contracts, protocols, licensing and certification, etc. to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                                                                                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

b) Expanding or changing the provider network by retooling residential providers to provide services consistent with the SOC philosophy and to diversify the services they offer to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

**6. Expanding Family and Youth Involvement in Service Delivery**

Expanding family and youth involvement in the planning and delivery of their own services to improve outcomes to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

**7. Creating or Expanding the Use of Evidence-Based, Evidence-Informed, and Promising Practices**

Creating or expanding the use of evidence-based, evidence-informed, and promising practices within SOC that improve outcomes to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

**8. Improving the Cultural and Linguistic Competence of Services**

Creating or expanding the use of culturally and linguistically competent approaches to service delivery to improve outcomes to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

**9. Reducing Disparities in Service Delivery**

Developing and implementing strategies directed at reducing racial, ethnic, and geographic disparities in service delivery across child-serving systems to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

**10. Implementing or Expanding the Use of Technology**

Implementing or expanding the use of technology, e.g., electronic medical records, telemedicine, videoconferencing, etc., to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

### III. RECEIVING OR PROVIDING TRAINING, TECHNICAL ASSISTANCE, AND COACHING

*Implementing mechanisms to receive from others or provide ongoing training, technical assistance, supervision, and coaching to ensure that providers are prepared and skilled to provide effective services and supports consistent with the SOC philosophy and approach*

#### 1. Receiving or Providing Training, Technical Assistance and Coaching on SOC Approach

Receiving or providing ongoing training and coaching on the SOC philosophy and approach to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

#### 2. Receiving or Providing Training, Technical Assistance, and Coaching on Effective Service

Receiving or providing ongoing training on effective services (evidence-based, evidence-informed, and promising interventions) to support high quality and effective service delivery to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

**3. Creating Training and Technical Assistance Capacity**

Creating the capacity for ongoing training and technical assistance on SOCs and effective services (e.g., institutes, centers of excellence, TA centers, other intermediary organizations, partnerships with higher education) to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive

                      

<b>Explanation of Progress, Successes and Strengths:</b>
<b>Explanation of Needs:</b>

**IV. GENERATING SUPPORT AND AN ADVOCACY BASE**

*Generating support and advocacy among families and youth, high-level decision makers at local levels, providers, managed care organizations, other key stakeholders, and community leaders to support and advocate SOC development*

**1. Establishing Strong Family and Youth Organizations**

- a) Linking with or establishing a strong family organization to advocate, support, and be involved in the development of SOC (e.g., through funding, involvement at the system and policy levels, contracting for training and services, etc.)

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                                                                                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

- b) Linking with or establishing a strong youth organization to advocate, support, and be involved in development of SOC (e.g., through funding, involvement at the system and policy levels, contracting for training and services, etc.)

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                                                                                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

## 2. Cultivating Partnerships with Other Key Stakeholders

- a) Cultivating partnerships with provider agency and organization leaders, managed care organizations, etc., to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

- b) Cultivating partnerships with community and civic leaders and advocates to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

## 3. Generating Support Among Administrators and Policy Makers

- a) Generating political and policy-level support for the SOC philosophy and approach among high-level administrators and policy makers at the local level for sustaining and expanding SOC

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

#### 4. Using Data

- a) Using data on the outcomes of SOC's and services to "make the case" for the development of SOC

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

- b) Using data on cost avoidance across systems, comparison with high-cost services, etc., to "make the case" for the development of SOC

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

#### 5. Creating an Advocacy Base Through Social Marketing

Creating an effective advocacy base among key constituencies and audiences to advocate for the development of SOC and creating a "sense of urgency" for addressing children's mental health through social marketing and other approaches

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

**6. Cultivating Leaders**

Cultivating ongoing leaders and champions for SOC philosophy and approach to support expansion of the SOC approach through training, leadership development activities, etc.

Rating of Progress:      **1=None**      **2=Some**      **3=Moderate**      **4=Significant**      **5=Extensive**  
                                                                                                                

<b>Explanation of Progress, Successes and Strengths:</b>
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<b>Explanation of Needs:</b>
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**V. CREATING OR IMPROVING FINANCING STRATEGIES**

*Creating or improving financing mechanisms and using funding sources more strategically to support the infrastructure and services comprising SOC to sustain or expand SOC:*

**1. Increasing the Use of Medicaid**

Increasing ability to obtain Medicaid reimbursement for services by adding new services, changing existing service definitions, obtaining waivers, using EPSDT, using the rehabilitation option, etc., to finance services and supports and support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

**2. Increasing the Use of State Mental Health and Substance Abuse Funds**

a) Obtaining new or increased mental health funds to support SOC infrastructure and services and support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

b) Obtaining new or increased substance abuse funds to support SOC infrastructure and services and support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

**3. Increasing the Use of Funds from Other Child Serving Systems**

- a) Obtaining new or increased funds from other child-serving agencies to finance infrastructure and/or services and support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                                                                                       

<b>Explanation of Progress, Successes and Strengths:</b>
<b>Explanation of Needs:</b>

- b) Coordinating, braiding, blending, or pooling funds with other child-serving agencies to finance infrastructure and/or services and support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                                                                                       

<b>Explanation of Progress, Successes and Strengths:</b>
<b>Explanation of Needs:</b>

**4. Redeploying Funds**

Redeploying, redirecting, or shifting funds from higher to lower cost services to finance infrastructure and/or services and support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                                                                                       

<b>Explanation of Progress, Successes and Strengths:</b>
<b>Explanation of Needs:</b>

**5. Accessing New Financing Structures and Funding Streams**

Accessing new financing structures and funding streams, e.g., through the implementation of health care reform (Affordable Care Act) and parity, to support expansion of the SOC approach

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                                                                                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

**6. Increasing the Use of Local Funds**

Obtaining new or increased local funds (e.g., taxing authorities, special funding districts, county funds) to finance infrastructure and/or services and support sustaining and expanding of SOCs

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                                                                                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

**7. Increasing the Use of Grant Funds to Finance SOC**

Maximizing grant funds to finance infrastructure and/or services and support sustaining and expanding of SOC

Rating of Progress:      1=None      2=Some      3=Moderate      4=Significant      5=Extensive  
                                                                                       

Explanation of Progress, Successes and Strengths:
Explanation of Needs:

## **MOST SIGNIFICANT STRATEGIES**

Of the strategies above, specify 5 strategies that have been the most significant in your progress in expanding SOC to date:

1.

2.

3.

4.

5.